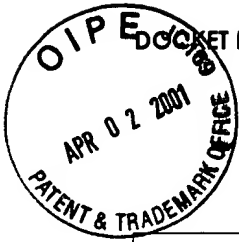


Receipt

PATENT

#9



DOCKET NO: PM021

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Bruce K. Geist et al.	
Serial No.: 09/707,433	Group Art Unit: 2132
Filing Date: 7 November 2001	Examiner: N/A
For: SELF-AUTHENTICATION OF VALUE DOCUMENTS USING DIGITAL SIGNATURES	

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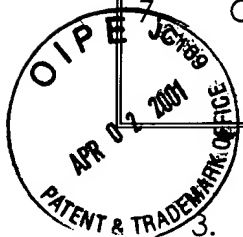
Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington DC 20231

REQUEST FOR CORRECTED FILING RECEIPT

- Attached is a copy of the Official Filing Receipt received from the PTO in the above application for which issuance of a Corrected Filing Receipt is respectfully requested.
- There is an error with respect to the following data that is:
  - ☒ incorrectly entered; and/or
  - ☐ omitted.

Error in	Correct data
1. Applicant's name: Giest	1. Geist - See copy of Declaration/Power of Attorney enclosed.
2. Applicant's address:	2.
3. Title:	3.
4. Filing Date: 10/07/2000	4. 11/07/2001 - See copy of Return Postcard

5. Serial Number:	5.
6. Foreign/PCT Application Re:	6.
7. Other:	7.



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(complete the following applicable item A or B)

- A. ☒ The correction(s) is/are not due to any error by applicant and no fee is due.

OR

- B. ☐ At least one of the above corrections is due to applicant's error and the fee therefore under 37 CFR 1.19(h) of \$25.00 is paid as follows:

☐ A check in the amount of \$25.00 is attached to cover the surcharge. Please charge any deficiency or credit any overpayment to Deposit Account No. 19-3790.

☐ Please charge the surcharge to my Deposit Account No. 19-3790 in the amount of \$25.00.

Dated: March 30, 2001

Lise A. Rode

Registration No. 37,226

UNISYS CORPORATION  
Unisys Way, MS/E8-114  
Blue Bell, Pennsylvania 19424-0001  
(215) 986-5169

The Assistant Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. **19-3790** of any fees associated with this communication.

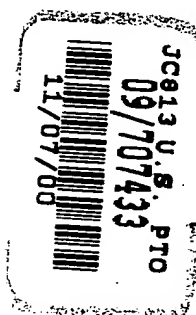
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

March 30, 2001



PM021 USA

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PATENT AND TRADEMARK OFFICE

Paper: Patent Appln Trans. (dup.); Cert. Exp. Mail;  
Specification (52 pgs.); Unexecuted Dec/POA;  
13 Sheets Informal Drawgs; IDS (2 pages); 1449;  
7 Refs.

Applicant(s): Bruce K. Geist et al.

Serial No.: To Be Assigned

Filed: Herewith - November 7, 2000

Docket No.: PM021

Date Sent: November 7, 2000

LAR/sk

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Patent Department

11/17/00



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/707,433	10/07/2000 11	2132	3110	PM021	13	28	3

Lise A Rode  
Unisys Corporation  
Unisys Way MS E8-114  
Blue Bell, PA 19424

## FILING RECEIPT



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Date Mailed 03/26/2001  
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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Applicant(s) Geist  
Bruce K. ~~Geist~~, Sterling Heights, MI ;  
Thomas D. Hayosh, Bloomfield Hills, MI ;

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 01/17/2001

Title

Self-authentication of value documents using digital signatures

Preliminary Class

380

Data entry by : JOHNSON, ANGELA

Team : OIPE

Date: 03/26/2001





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

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**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Washington, DC 20231



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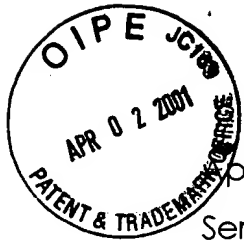
**FILE COPY**

CONFIRMATION NO. 9716



Bib Data Sheet

<b>SERIAL NUMBER</b> 09/707,433	<b>FILING DATE</b> 11/07/2000 <b>RULE</b>	<b>CLASS</b> 380	<b>GROUP ART UNIT</b> 2132	<b>ATTORNEY DOCKET NO.</b> PM021	
<b>APPLICANTS</b> Bruce K. Geist, Sterling Heights, MI; Thomas D. Hayosh, Bloomfield Hills, MI;					
<b>** CONTINUING DATA *****</b>					
<b>** FOREIGN APPLICATIONS *****</b>					
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED</b> <b>** 01/17/2001</b>					
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after met Allowance Verified and Acknowledged _____ Examiner's Signature Initials		<b>STATE OR COUNTRY</b> MI	<b>SHEETS DRAWING</b> 13	<b>TOTAL CLAIMS</b> 28	<b>INDEPENDENT CLAIMS</b> 3
<b>ADDRESS</b> Lise A Rode Unisys Corporation Unisys Way MS E8-114 Blue Bell, PA 19424					
<b>TITLE</b> Self-authentication of value documents using digital signatures					
<b>FILING FEE RECEIVED</b> 3110	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit		



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Bruce K. Geist et al.

Serial No.: 09/707,433

Examiner: N/A

Filing Date: November 7, 2000

Art Unit: 2132

Title: SELF-AUTHENTICATION OF VALUE DOCUMENTS USING DIGITAL  
SIGNATURES

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Director for Patents

Washington, D.C. 20231

**LETTER TO THE EXAMINER**

Sir:

Examiner Steve Kabakoff (Art Unit 2767) has asked applicant to identify all currently pending patent applications for inventors Tom Hayosh and Bruce Geist, who have assigned their applications to Unisys Corporation. These applications all have subject matter that involves processing for verification or quality assurance of value documents such as checks. Applicant is providing a summary of five (5) patent applications related to one another, including the present case Serial Number 08/951,757 (MP-216). Two other patent applications Serial Number 09/261,840 and Serial Number 09/299,260 are unrelated and are not in the following summary. In addition, applicant is including copies of the forms PTO 892 for the cases in which, an office action has been received by the applicant. Also, included is copy of the Invention Disclosure Statement, Form 1449 indicating references for cited for each of the applications. This same letter is being sent to each of the Examiner's for the five (5) patent applications listed in the accompanying summary.



Three of these patent applications will be amended to include cross-references to related technology. They are as follows

- 1) MP-216 (08/951,757) (Examiner Kabakoff) will be amended to state it is related to the technology in MP-226 (09/226,819) (Examiner Chang Y. Chung), MP-246 (09/137,871) (Examiner Kabakoff), and PM-021 (09/707,433) (no office action yet).
- 2) MP-226 will be amended to state it is related to the technology in MP-216 and MP-246.
- 3) MP-246 will be amended to state it is related to the technology in MP-216 and MP-226.

Should the examiner believe it expeditious to contact Applicant regarding this matter he/she is invited to contact the undersigned at (215) 986-5169.

Dated: March 30, 2001

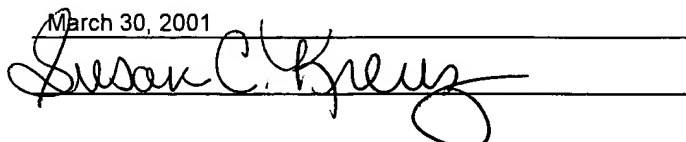
Respectfully submitted,

  
Lise A. Rode  
Registration No. 37,226

Unisys Corporation  
Unisys Way, MS/E8-114  
Blue Bell, Pennsylvania 19424-0001  
(215) 986-5169

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March 30, 2001  




## EXAMINER REQUESTED SUMMARY

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I

**The following two cases (C-207A and C-246) are related and build on MP-216.**

1. C-207/A (Geist) – "Cryptology for Self Authenticating Check Images"  
Ser. No. 09/137,863 (Filed: 8/11/98), based on a  
Provisional application, Ser. No. 60/056,648 (Filed:  
8/22/1997).  
Examiner Thomas Peeso, Art Unit 2132

**Status:** Office Action received on 11/08/2000.

**Comments:** See below

2. C-246 (Geist) – "Linked Check Images"  
Ser. No. 09/137,871 (Filed: 8/12/98)  
Examiner Kabakoff, Art Unit 2132

Linking images using a physical marker of authentic paper stock that is difficult or nearly impossible to reproduce. The physical marker may be a unique magnetic "fingerprint" which is derived from distinct and hard-to-duplicate alignment of magnetic taggants within a security ink stripe on a check. Data derived from that marker serves as the "fingerprint." The fingerprint is stored with a digital image of the document. The combination is digitally signed to create a "linking signature." This digital signature along with selected document information is the "linked image." The digital signature is then recorded on the check. If the document is self-authenticating, then the document's fingerprint and the self-authenticating information can be included in the data signed by the linking signature.

**Status:** Office Action received 1/8/01. Examiner Kabakoff claims that the disclosure is nearly identical to that of MP-216.

**Comments:** The C-246 patent application builds on the patent application of MP-216 and adds to it the feature of storing and verifying the contents of the magnetic storage medium that includes taggant data, a digital certificate, and the digital signature and then producing a single electronic file that includes the aforementioned elements along with a digital image of the value document.

With respect to C-207A and C-246, the claims are substantially related, as are the specifications of the two cases, with the exception that C-246 adds additional disclosure in pages 1-9 (up to the last paragraph). Applicant is considering amending C-246 to be a continuation-in-part of C-207A to obtain the benefit of the priority date of C-207A, which claims priority from a provisional application U.S. 60-056648 filed 8/22/97. Case C-207A may then be allowed to go abandoned.

## II

**The following cases (MP-216, MP-226 and PM-021) are all related technology. PM-021 builds on MP-226 and MP-226 builds on MP-216.**

3. MP-216 (Hayosh) - "Apparatus and Method for Enhancing Check Security"  
Ser. No. 08/951,757, (Filed: 10/16/97), based on the Provisional application Ser. No. 60/028,741 (Filed: 10/26/96). Examiner Kabakoff

Self-authentication using digital signatures Machine-readable data and clear text data from a check are hashed with a hashing algorithm to create a first message digest. The message digest is then signed with a private key to create a digital signature, which is stored on the check along with clear text data. In order to verify the authenticity of the self-authenticating document, a second document message is created from the machine-readable data on the document and clear data extracted there from. This second document message is hashed. The digital signature previously created is then decrypted to re-create the first document message, which is then compared with the second document message.

**Status:** OA received – due 12/14/00. Examiner interview tentatively scheduled.

**Comments:** This is a patent application for the creation and verification of a value document that contains a MICR or OCR machine-readable code line, a taggant, and a recordable storage area. A first digital taggant data pattern is extracted from the taggant, the code line data is read, and together with some other clear text data a message is generated that is digitally signed using the private key of the document producer/owner. Verification or authentication of the value document may be done by reading the taggant, the machine readable code line, and the recordable storage area; going to a data base to get the

associated public key and performing the verification of the original digital signature. The process of complete document verification requires two levels. The first level of verification applies the public key to the digital signature to create a first message digest. The message is then assembled reading the data from the storage area and the machine-readable code line. Its hash is generated to create a second message digest. The first and second message digest is then compared. If they are identical, then the first level of verification is accomplished. This verification step proves that the machine readable codeline and the recordable storage area data was not altered and indeed was generated by the holder of the private key, but it does not prove that the document was not copied and duplicated. The second level of verification requires the reading of the taggant and extracting a second taggant data pattern and comparing the second taggant data to the first taggant data that is contained in the recordable storage area. When the two taggant data patterns are shown to be matched within a tolerable error metric then another level of security is obtained proving that the document was not a copy or duplicate of the original.

4. MP-226 (Hayosh) – “Self-Authentication of Value Documents Using Encoded Indices”  
Ser. No. 09/226,819 (Filed: 1/6/99) based upon the  
Provisional filing Ser. No. 60/071,154 (Filed Jan. 12,  
1998)

Self-authentication using digital signatures Two-dimensional bar code including assemblage data group of information is printed on document, preferably using magnetic taggant to provide magnetic tag pattern data. Message digest is created using hashing algorithm, which is then signed with a private key to create a digital signature. Assemblage data group information may include type and version number of document, personal identification field of the document's originator, public key identification, date of document.

Status: Notice of Allowance received. A continuation was filed on 10/16/2000 (Art Unit 2161) to additionally claim unclaimed aspect that digital certificate could be stored in assemblage group.

**Comments:** This patent application is different from MP-216 in that the recordable storage area on a value document is a printed assemblage of symbols, i.e. a 2-dimensional bar code rather than a recordable machine-readable magnetic stripe. The use of taggant and taggant data in MP-226 is optional rather than essential as in MP-216. Both patent applications

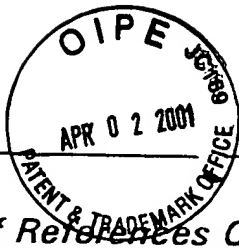
use the machine readable MICR or OCR code line as part of the data that is digitally signed but not repeated in the storage area. In MP-226, the data included in the 2-d bar code that is digitally signed is data that is taken from the value document such as payee name, amount and date of issue, whereas the data in MP-216 is more general because the value document is digitally signed before it is completed with payee name, amount, etc. Here in MP-226, the completion of the value document is anticipated to be completed using a laser printer, which in concert with a financial application, all the detail necessary for printing the complete value document is known.

5. PM021 (Geist/Hayosh) – "Self-Authentication of Value Documents using Digital Signatures"  
Ser. No. 09/707,433 (Filed: 11/7/00), Art Unit 2132

An encryption-free technique for enabling the self-authentication of value documents (including personal and commercial checks) presented at a point of purchase or financial institution. Certain data contained on the value documents may be signed with a first digital signature and authenticated with the public key certificate issued from a trusted certificate authority. The signed data and public key certificate are stored on the value documents, preferably in a two-dimensional barcode data format. In the case of certain personal value documents (such as checks, credit cards, passports, birth certificates, Social Security cards, etc.) a unique personal identification number (PIN) also may be included in the document data that is signed by a second digital signature. At a point of purchase, a merchant or teller can scan and read the data stored in the two-dimensional barcode and other magnetically recorded information, and together with the PIN the customer provides, can authenticate the value document thus presented using the second digital signature. Alternatively, if the customer is not present, if the personal value document contains the second digital signature, the documents may be verified using a PIN generating algorithm or other method that generates all permutations of PINS. The first digital signature alone may be used to authenticate selected data within the personal value document even when the PIN is not available. Similarly in the case of a commercial value document authentication of preprinted data may be based entirely upon only the first digital signature.

**Status:** No OA yet received, to date. Cross-reference made to MP-216 and MP-226.

**Comments:** This patent application builds on the invention of MP-226, including the feature of providing a Personal Identification Number (PIN) as part of the data that is digitally signed. The use of a taggant is not part of PM-021. There may be two digital signatures; one that included the PIN and the other that does not.



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## Notice of References Cited

Application No.  
08/951,757

Applicant(s)

Haysoh

Technology Center 2100

Examiner

Steve Kabakoff

Group Art Unit  
2767

Page 1 of 1

## U.S. PATENT DOCUMENTS

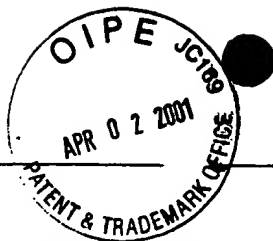
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A	4,806,740	9/1986	Gold et al	235	449
B	5,799,092	2/1995	Kristol et al	380	51
C	4,985,614	6/1989	Pease et al	235	440
D	5,740,244	5/1996	Indeck et al	380	4
E	5,384,846	4/1993	Berson et al	380	23
F	5,535,078	1/1995	Warwick	360	119
G	5,355,411	2/1993	MacDonald	380	23
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## FOREIGN PATENT DOCUMENTS

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## NON-PATENT DOCUMENTS

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## Notice of References Cited

Application/Control No.

08/951,757

Applicant(s)/Patent Center 2100

Re examination  
HAYSOH, THOMAS D.

Examiner

Steve Kabakoff

Art Unit

2767

Page 1 of 1

## U.S. PATENT DOCUMENTS

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\*A copy of this reference is not being furnished with this Office action. (See Manual of Patent Examining Procedure, Section 707.05(a).)

\*\*APS encompasses any electronic search i.e. text, image, and Commercial Databases.





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## Notice of References Cited

Application/Contr I No.

08/951,757

Examiner

Steve Kabakoff

Technology Center 2100

R examination

HAYSOH, THOMAS D.

Art Unit

2767

Page 1 of 1

## U.S. PATENT DOCUMENTS

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## NON-PATENT DOCUMENTS

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\*A copy of this reference is not being furnished with this Office action. (See Manual of Patent Examining Procedure, Section 707.05(a).)  
\*\*APS encompasses any electronic search i.e. text, image, and Commercial Databases.



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Application No.  
09/226,819

Applicant(s)

Hayosh

Examiner

Chang Y. Chung

Group Art Unit  
2764

Page 1 of 1

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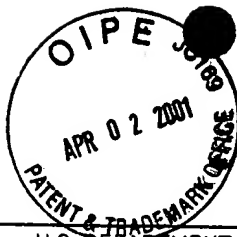
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A	5,742,685	4/21/1998	Berson et al	713	186
B	5,371,798	12/6/1994	McWhortor	380	51
C	5,509,692	4/23/1996		713	168
D	4,806,740	2/21/1989	Gold et al	235	449
E	6,030,001	2/29/2000	Kruckemeyer	283	70
F	5,475,205	12/12/1995	Behm et al	235	375
G	6,003,763	12/21/1999	Gallagher et al	235	379
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V	DeSilver, Drew, "Microtrace IDs many markets", Minneapolis-St. Paul CityBusiness, 5/19/95, Vol 12 Issue 50, p1, 2p	5/1995
W	Belsie, Laurent, "Outsmarting counterfeiters with high-tech bills", Christian Science Monitor, 3/12/96, Vol 88 Issue 73, p13	3/1996
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PAGE 1 OF 1

FORM PTO-892

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

SERIAL NO.

09/137,863

GROUP ART  
UNIT

2132

ATTACHMENT  
TO PAPER NO.

7

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APPLICANT(S)

Geist

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	A	6,094,722 ✓	7/2000	Astola et al.	713	176	
	B	6,115,818 ✓	9/2000	Barton	713	176	
	C	6,124,882 ✓	9/2000	Voois et al.	348	15	
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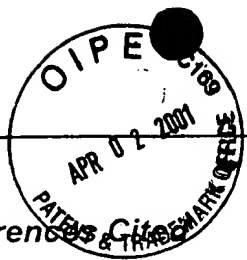
Thomas Peeso

DATE

November 4, 2000

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\* A copy of this reference is not being furnished with this office action.  
(See Manual of Patent Examining Procedure, 11th Edition, § 1200.)

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Application/Control No.

09/137,871

Applicant(s)/Patent Under  
Reexamination  
GEIST, BRUCE KAEMPER

Examiner

Steve Kabakoff

Art Unit

2132

Page 1 of 1

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Form PTO-1449 Modified

Docket No.  
PM003Serial No.  
09/261,840List of Patent and Publications  
Cited by Applicant  
(Use several sheets if necessary)Applicant  
Thomas David HayoshU.S. Department of Commerce  
Patent and Trademark OfficeFiling Date  
March 3, 1999Group  
2761

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	AB	5,221,830	6/22/93	Kern		
	AC	5,237,156	8/17/93	Konishi et al.		
	AD	5,689,579	11/18/97	Josephson		
	AE	5,781,654	7/14/98	Carney		
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	AH	4,523,330	6/11/85	Cain		
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PM005Serial No.  
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Bruce K. GeistU.S. Department of Commerce  
Patent and Trademark OfficeFiling Date  
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	AA	5,005,200	4/2/91	Fischer	380	30
	AB	5,214,702	5/25/93	Fischer	380	30
	AC	5,499,294	3/12/96	Friedman	380	10
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